



#3 Sector 14

ATTORNEY'S DOCKET NO. I0277/7007 (HCL/KA)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Martha K. Newell, et al.  
Serial No. 09/470,494  
Filed: December 22, 1999  
For: USE OF CD40 ENGAGEMENT TO ALTER T CELL RECEPTOR USAGE  
Examiner: not yet assigned  
Art Unit: 1643

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to BOX MISSING PARTS, the Commissioner for Patents, Washington, D.C. 20231, on the 12th day of June, 2000.

Helen C. Lockhart

**BOX MISSING PARTS**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing are the following documents:

- ☒ Part 2 - Copy of the Notice to File Missing Parts
- ☒ Response to the Notice to File Missing Parts
- ☒ Preliminary Amendment
- ☒ Fee Calculation Sheet
- ☒ Executed Declaration and Power of Attorney Forms by all the inventors
- ☒ 2 Executed Small Entity Statements
- ☒ Information Disclosure Statement, 1449 Form and cited references
- ☒ Return Postcard
- ☒ Check for \$717.00

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617)720-3500, Boston, Massachusetts.

If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully Submitted,

Helen C. Lockhart, Reg. No. 39,248  
WOLF, GREENFIELD & SACKS, P.C.  
600 Atlantic Avenue  
Boston, MA 02210-2211  
(617)720-3500

Attorney's Docket No.: I0277/7007

Date: 6/12/00

x06/12/00



#3

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Helen C. Lockhart

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BOX MISSING PARTS  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

**RESPONSE TO THE NOTICE TO FILE MISSING PARTS**

This is in response to the Notice to File Missing Parts of application mailed from the United States Patent and Trademark Office on February 11, 2000.

Attached is the Declaration and Power of Attorney executed by all the inventors, executed Small Entity Statements as well as a preliminary amendment and fee calculation sheet.

This response also includes a request for a two month extension of time and the appropriate fee.

The attached check for \$717.00 includes the basic filing fee, additional claims fee, the surcharge for a late declaration and a two month extension of time.

Accordingly, Applicants believe that this document is responsive to the Notice to File Missing Parts.

Serial No: 09/470,494

-2-

Group Art Unit: 1643

If any other information is needed, please contact the undersigned attorney by phone (617-720-3500, Ext. 259) to expedite the further prosecution of this patent application.

Respectfully submitted,

WOLF, GREENFIELD & SACKS, P.C.

By 

Helen C. Lockhart (Reg. No.: 39,248)  
WOLF, GREENFIELD & SACKS, P.C.  
600 Atlantic Avenue  
Boston, MA 02210-2211  
Attorneys for Applicant(s)  
Tel. no. (617) 720-3500

ATTORNEY'S DOCKET NO.: I0277/7007

DATE: June 12, 2000

**X06/12/00**

Inventor(s): Martha K. Newell, et al.

Serial No: 09/470,494

Filed: December 22, 1999

For: USE OF CD40 ENGAGEMENT TO ALTER T CELL RECEPTOR  
USAGE

CHECK BOX, if applicable:

☐ **DUPLICATE****Fee Calculation Sheet**

CLAIMS	FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
	TOTAL CLAIMS (37 CFR 1.16(c))	20-20=	0x	\$ 18	= \$ 0.00
	INDEPENDENT CLAIMS (37 CFR 1.16(b))	6-3=	3 x	\$ 78	= \$ 234.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d)) +			\$	= \$
				BASIC FEE (37 CFR 1.16(a))	\$ 690.00
	Fee for Petition for Extension of Time (if any)				\$ 380.00
	Total of above Calculations =				\$ 1,304.00
	Reduction by 50% for filing by small entity (Note 37 CFR 1.9, 1.27, 1.28).				\$ 652.00
	Assignment Recordation Fee (if any)				\$
	Other Fees (if any).				\$ 65.00
	TOTAL =				\$ 717.00

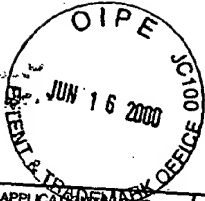
1. A check in the amount of \$717.00 is enclosed.

**General Authorization to Charge Deposit Account and General Request for Extension of Time**

2. a. ☒ If the filing of any paper in this application necessitates the payment of a fee under 37 CFR §§ ☒ 1.16 ☒ 1.17 or ☐ 1.18, and the fee due is in an amount different from any enclosed check or if no check is enclosed, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 23/2825.
- b. ☐ The applicant hereby revokes any prior authorization to charge a fee due under 37 CFR §§ ☐ 1.16 ☐ 1.17 or ☐ 1.18.
3. If the filing of any paper in this application necessitates an extension of time under 37 CFR § 1.136(a), the applicant hereby requests such extension of time. If the fee due is in an amount different from any enclosed check or if no check is enclosed, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 23/2825.

Helen C. Lockhart, Reg. No. 39,248  
 Wolf, Greenfield & Sacks, P.C.  
 600 Atlantic Avenue  
 Boston, MA 02210-2211  
 (617) 720-3500  
 Attorneys of Record

Docket No. I0277/7007 (HCL/KA)  
 Date: June 12, 2000



#3  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/470,494	12/22/99	NEWELL	M 10277/7007

WOLF GREENFIELD & SACKS P.C.  
600 ATLANTIC AVENUE  
BOSTON MA 02210

0242/0211

4-11-00

1643

DATE MAILED:

02/11/00

### NOTICE TO FILE MISSING PARTS OF APPLICATION Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this **NOTICE** to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☐ non-small entity is \$ 3,470

- ☒ 1. The statutory basic filing fee is:  
☐ missing.  
☐ insufficient.

Applicant must submit \$ 766 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☒ 2. The following additional claims fees are due:

\$ 4086 for 287 total claims over 20.

\$ 234 for 3 independent claims over 3.

\$ 260 for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

- ☐ 9. OTHER: Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

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117.00 DP  
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35.00 CH  
06/20/2000 CV0111  
01 FC:202  
02 FC:205  
03 FC:201